

INFORMATION DISCLOSURE STATEMENT

In re Application of:	John L. Galvagni, et al.	Attorney Docket No.:	AVX-187-DIV
Serial No.:	Not yet assigned.	Date:	August 26, 2003
Filed:	Herewith.	Parent Group Art Unit:	2831
Confirmation No.:	Not yet assigned.	Our Account No.:	04-1403
Title:	Cascade Capacitor		

Commissioner for Patents
U.S. Patent and Trademark Office
Post Office Box 1450
Alexandria, VA 22313-1450

Sir:

The following is a Information Disclosure Statement for the captioned patent application, pursuant to 37 CFR Sections 1.56, 1.97, and 1.98.

1. ☒ Attached hereto is:
- a. ☒ A list of materials for consideration per Rule 98(a)(1): 1 page (24 references).
 - b. ☐ A legible copy of each patent, publication, or other item listed per Rule 98(1)(2), unless not required per Rule 98(c) and/or (d) and as indicated on the attached list(s):
_____ item(s)
 - c. ☐ For each non-English language item listed, pursuant to Rule 98(a)(3), a concise explanation of the relevance thereof as it is presently understood by the individual designated in Rule 56(c) most knowledgeable about the content of such items: _____
[] Such explanation is provided in the Search Report from a corresponding application enclosed herewith along with any enclosed translation into English.
2. ☒ This Information Disclosure Statement is being filed [CHECK ONE]:
- a. ☒ WITHIN THREE MONTHS of the application filing date, national stage date of entry, or along with or after a request for continued examination, OR BEFORE the mailing date of a first Office Action on the merits, which ever event occurs last, WHEREFORE per Rule 97(b) NO filing fee or Rule 97(e) certificate is required.
 - b. ☐ AFTER the time periods of section 2.a above, but BEFORE a Final Action, Notice of Allowance OR an action that otherwise closes prosecution, WHEREFORE PER Rule 97(c) submitted herewith is [CHECK ONE]:
 - i. ☐ Certification per Rule 97(e); OR
 - ii. ☐ Filing Fee per Rule 17(p)\$180.00
 - c. ☐ AFTER a Final Action OR Notice of Allowance, but BEFORE payment of the issue fee, WHEREFORE per Rule 97(d) submitted herewith is:
 - i. ☐ Certification per Rule 97(e); AND
 - ii. ☐ Filing fee per Rule 17(p)\$180.00
3. ☐ Rule 97(e) Certification; per Rule 97(e), the undersigned certifying party make the following certification statement [CHECK ONE]:
- a. ☐ That each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; OR
 - b. ☐ That no item of information contained in this Information Disclosure Statement was cited in a foreign patent office in a counterpart foreign application and to the knowledge of the undersigned after making a reasonable inquiry, was known to any individual designated in Rule 56(c) more than three months prior to the filing of this statement.

CERTIFYING PARTY (if different from bottom signature; omission here indicates that certification is being made by signer per signature below).

Name: _____	Signature: _____
Address: _____	Date: _____

specifically authorized hereafter, or any fees in addition to the fee(s) filed, or assessed to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (deficiency only) now or hereafter relative to this application and the resulting official document under Rule 20, or credit any overpayment, to our Account No. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This statement does not authorize charge of the issue fee in this case.

5.[X] CERTIFICATE OF MAILING: This Information Disclosure Statement is being filed pursuant to [CHECK AND COMPLETE ONE]:

a.[] First Class Mail Certificate of Mailing under Rule 8:

I hereby certify that this correspondence and any referenced attachment and/or fee are being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Commissioner for Patents
U.S. Patent and Trademark Office
Post Office Box 1450
Alexandria, VA 22313-1450

on _____

(Typed/printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

b.[X] "Express Mail" Certificate under Rule 10:

"Express Mail" - Label No. EV 342689479 US

Date of Deposit August 26, 2003

I hereby certify that this paper and all attachments and any fee are being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the:

Commissioner for Patent
U.S. Patent and Trademark Office
Post Office Box 1450
Alexandria, VA 22313-1450.

Mim Voet
(Typed/printed name of person mailing paper or fee)

Mim Voet

(Signature of person mailing paper or fee)

ADDRESS:

Post Office Box 1449
Greenville, South Carolina 29602
Telephone: 864-271-1592
Facsimile: 864-233-7342

DORITY & MANNING,
ATTORNEYS AT LAW, P.A.

By: Richard M. Moose, Esquire

Reg. No: 31,226

Signature: Richard M. Moose

Date: August 26, 2003

(Rev. 5/92) Information Disclosure Statement List By Applicant Under 37 CFR Section 1.98(a) (1) (Use several sheets if necessary)	Attorney Docket Number AVX-187-DIV		Serial Number Not yet assigned.
	Applicants: John Galvagni, et al.		
	Filing Date: Herewith		Parent Group Art Unit: 2831
	Confirmation No.: Not yet assigned.		

NOTE: If no indication is made in the column marked "COPY NOTE," the required legible copy of the corresponding item is submitted herewith; otherwise, a copy is not required and/or not submitted, for the following reason(s) [corresponding reason number is listed in "COPY NOTE" column]"

- (1) This item is cumulative, per Rule 98(c)
- (2) A copy of this item was previously cited by or submitted to the U.S. Patent and Trademark Office in:
USSN 10/234,972, filed 09/04/2002, or
USSN _____, filed _____;
Relied on under 35 U.S.C. Section 120, per Rule 98(d)
- (3) Both reasons (1) and (2) apply
- (4) No legible complete copy is possessed, in custody of controlled, or readily available

U.S. PATENT DOCUMENTS											
EXAMINER INITIALS	PATENTEE NAME	PATENT NUMBER								ISSUE DATE	COPY NOTE
	Dougherty et al.	4	4	3	9	8	1	3		03/27/84	2
	Arnold et al.	4	8	3	1	4	9	4		05/16/89	2
	Takemura et al.	5	2	2	0	4	8	2		06/15/93	2
	Galvagni et al.	5	5	1	7	3	8	5		05/14/96	2
	Monsorno	5	5	7	6	9	2	6		11/19/96	2
	Wilson et al.	5	5	9	9	7	5	7		02/04/97	2
	Mizuno	5	7	8	6	9	7	8		07/28/98	2
	Galvagni et al.	5	7	9	9	3	7	9		01/01/98	2
	Bertin et al.	5	8	1	1	8	6	8		09/22/98	2
	Bird et al.	5	8	3	1	8	1	0		11/03/98	2
	DuPré et al.	5	8	8	0	9	2	5		03/09/99	2
	Chivukula et al.	5	8	8	6	8	6	7		03/23/99	2
	Schaper	6	0	2	3	4	0	8		02/08/00	2
	Naito et al.	6	0	3	4	8	6	4		03/07/00	2
	Naito et al.	6	0	3	8	1	2	1		03/14/00	2
	Bergstedt et al.	6	0	3	8	1	2	2		03/14/00	2
	Konushi	6	1	0	4	5	9	7		08/15/00	2
	Bissey	6	1	8	4	5	7	4 B1		02/06/01	2
	Ingalls et al.	6	2	0	8	5	0	1 B1		03/27/01	2
	Nellison et al.	6	2	2	6	1	7	0 B1		05/01/01	2
	DuPré et al.	6	2	4	3	2	5	3 B1		06/05/01	2
	Naito et al.	6	3	7	0	0	1	1 B1		04/09/02	2

FOREIGN PATENT DOCUMENTS															
EXAMINER INITIALS		COUNTRY	DOCUMENT NUMBER							PUBLICATION DATE	TRANSLATION			COPY NOTE	
											YES	NO	N/A		
		EPO	1	1	1	5	1	2	9	A2	07/11/01			X	2

*"NO" means that no copy of an English language translation is within the possession, custody, or control of, or is readily available to any individual designated in Rule 56(c).

EXAMINER INITIALS	OTHER DOCUMENTS		COPY NOTE
	Specify author (if any), Title, Pertinent Pages, Date & Place of Publication		
	PCT International Search Report, International Application No. PCT/US02/28100, International Filing Date: September 5, 2002, Date of completion of International Search: October 9, 2003, Date of mailing of International Search Report: January 2, 2003.		2
EXAMINER		DATE CONSIDERED	
Examiner: initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.			

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: John Galvagni, et al.)	Examiner: Not yet assigned
)	
Serial No.: Not yet assigned.)	Parent Group Art Unit: 2831
)	
Filed: Herewith.)	Our Account No. 04-1403
)	
Confirmation No.: Not yet assigned.)	
)	
For: Cascade Capacitor)	

INFORMATION DISCLOSURE STATEMENT

Commissioner of Patents
U.S. Patent and Trademark Office
Post Office Box 1450
Alexandria, VA 22313-1450

Sir:

The attached Information Disclosure Statement is submitted for the Examiner's consideration in accordance with the Applicants' duty of disclosure.

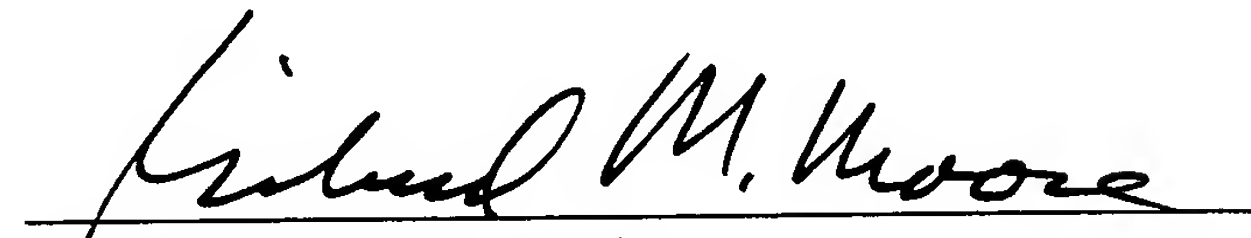
The documents cited in this Information Disclosure Statement were previously submitted to the U.S. Patent and Trademark Office in U.S. Patent Application No. 10/234,972, filed September 4, 2002, Confirmation No. 1102, in an Information Disclosure Statement filed December 10, 2002 and a supplemental Information Disclosure Statement filed April 10, 2003, Applicants do not admit of their relevance as prior art to the present application under 35 U.S.C. §102 and §103 nor of their pertinence in other respects.

The Examiner is encouraged to contact the undersigned at his/her convenience should he/she have any questions regarding this matter or require any additional information.

Respectfully submitted,

DORITY & MANNING, P.A.

Date: August 26, 2003


Richard M. Moose, Esquire
Reg. No.: 31,226

Post Office Box 1449
Greenville, SC 29602-1449
Telephone: (864) 271-1592
Facsimile: (864) 233-7342